

FY 2007: Improve Financial Performance Initiatives

4/30/2007

INITIATIVE	RATIONALE	PRIORITIZATION (TIMING & RESOURCES)	NEW, ENHANCED, OR ONGOING	MISSION IMPACT: LOW, MEDIUM, HIGH	IMPACT ON NIH MISSION
Improve Financial Performance					
Meet OMB mandated "Green" Standards for Success and Proud-To-Be 4 Goals.	PMA HHS Strategic Plan Objectives	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Meets all Yellow Standards for Success (i.e. receives an unqualified audit opinion on its annual financial statements, meets financial statement reporting deadlines, reports in its audited annual financial statements that its systems are in compliance with FFMIA, has no chronic or significant Anti-Deficiency Act violations, etc.) <i>(See additional milestone requirements related below).</i>	GREEN Standards for Success	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Currently produces accurate and timely financial information that is used by management to inform decision-making and drive results in key areas of operations.	GREEN Standards for Success NIH Director Performance Plan	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Is implementing a plan to continuously expand the scope of routine data use to inform management decision-making in additional areas of operation.	GREEN Standards for Success	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Deploy inventory and warehouse module and iProcurement for warehouse supply orders.	NIH Director Performance Plan	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Roll out PRISM for all acquisition and Sunflower assets software for personal property assets.	NIH Director Performance Plan	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Support NIH-wide audit and internal control efforts, ensuring responsive and timely submission of analyses, reports and/or documentation, electronic records for audits or internal control reviews and SAS 99 interviews and surveys. <i>(See additional milestone requirements related below).</i>	OM Managers, NBS, EOs Performance Plans (OFM)	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Ensure that obligations are within established allotments and statutory limits by using quarterly account reconciliations and, in the 4th quarter, monthly reconciliations, to successfully track funds, help prevent Anti-Deficiency Act violations, scrub stale obligations and property records, and close the books.	OM Managers, EOs, COs, AOs, etc. Performance Plans (OFM/OB)	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Ensure IC active participation in functional teams for NIH Business System (NBS) tracks 3 and 4 (Acquisition/Supply/ Property/Finance) as well as making appropriate role designations, user acceptance testing and make sure all IC tracks 3 and 4 staff receive appropriate training. Ensure responsiveness to NBS project needs. <i>(See additional milestone requirements related below).</i>	OM Managers, EOs, AOs Performance Plans (NBS)	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Implement the Unified Financial Management System for the Program Support Center which completes another step in meeting FFMIA requirements. <i>(See additional milestone requirements related to FFMIA below).</i>	PMA HHS Strategic Plan Objectives	By 30 Sep 07	Enhanced	Medium	Scorecard rating; performance rating

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Continue supporting the UFMS initiatives through the various committee and working group involvements, while concurrently moving ahead robustly in the continued development of NBS.	NIH Director, DDM, OFM, CIO, NBS Performance Plans (OFM)	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Improve the quality of PAR by recognizing professional standards.	PMA HHS Strategic Plan Objectives	By 30 Sep 07	Enhanced	Medium	Scorecard rating; performance rating
Implement the new A-123 standards. <i>(See additional milestone requirements related below).</i>	PMA HHS Strategic Plan Objectives NIH Director Performance Plan	By 30 Sep 07	Enhanced	Medium	Scorecard rating; performance rating
Assure urgency/priority is given to responding to A-123, Appendix A, Financial Reporting assessor's request for documents.	NBS, EOs Performance Plans (OFM)	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Ensure management systems and performance indicators are in place to measure performance across the full spectrum of processes and administrative areas; proactively take corrective action when necessary; and proactively foster a "risk management" environment. Ensure IC Directors are alerted to trends or patterns that may need higher level attention.	IC Managers & Supervisors Performance Plans (OMA)	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Identify, prevent, and mitigate risk in everyday work responsibilities.	All Employees Performance Plans (OMA)	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Fully implement the NIH Risk Management Program. Ensure that all systems of internal management controls are in place for centralized NIH-wide administrative, research and research support processes, and provide annual assurances on the effectiveness of the Risk Management Program in each respective area by the established deadline.	OMA, OFM, OM, Deputy Directors, OER, OIR, CIO, OM Managers, IC Directors, etc. Performance Plans (OMA)	By 30 Sep 07	On-going	High	Scorecard rating; performance rating
Assure no new internal control weaknesses (A-123).	OMB HHS	Medium Quarterly reporting to HHS for PMA Scorecard	On-going	High	Scorecard rating; performance rating
Assure no new material weakness under FFMIA.	OMB HHS	By 30 Sep 07	Ongoing	Medium	Scorecard rating; performance rating
Meet accelerated financial reporting timelines.	OMB HHS Strategic Plan Objectives		Ongoing	Low	Scorecard rating; performance rating

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DHHS Key Milestones: FFIA Compliant Systems					
Deploy UFMS to PSC- Core Financials.	PMA DHHS Proud To Be	Go live by 16 Oct 06	On-going	Medium	Scorecard rating; performance rating
UFMS Consolidated Reporting Prototype 1, a "first draft" of the marriage of DOT's Financial Statement Systems and the Federally Mandated Reporting Systems reporting solution for PSC, before all Treasury edits are added.	PMA DHHS Proud To Be	By 1 Dec 06	On-going	Medium	Scorecard rating; performance rating
Successful completion of User Acceptance testing for Tracks 3 and 4.	PMA DHHS Proud To Be	By 31 Dec 06	On-going	Medium	Scorecard rating; performance rating
UFMS Consolidated Reporting Prototype 2, development of additional edits to the consolidation.	PMA DHHS Proud To Be	By 31 Mar 07	On-going	Medium	Scorecard rating; performance rating
Deployment of Financial system upgrade (Oracle 11.5.8 to 11.5.9) and Supply and Replenishment functionality.	PMA DHHS Proud To Be	By 13 Feb 07	On-going	Medium	Scorecard rating; performance rating
Deployment of Property Management system (Track 3) and remainder of Acquisition (Track 4) functionality.	PMA DHHS Proud To Be	By 14 May 07	On-going	Medium	Scorecard rating; performance rating
UFMS Consolidated Reporting- Final Solution, replacement for AFS.	PMA DHHS Proud To Be	Currently planned for 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
Successful Year-end close on new system (NBS).	PMA DHHS Proud To Be	By 30 Sep 07	On-going	Medium	Scorecard rating; performance rating
DHHS Key Milestones: Eliminate Material Auditor-reported Internal Control Weaknesses					
Submit CAP quarterly updates to DHHS no later than two weeks before the end of each quarter.	PMA DHHS Proud To Be	Quarterly- no later than two weeks before the end of each quarter	On-going	Medium	Scorecard rating; performance rating
Submit Draft MD&A.	PMA DHHS Proud To Be	By 16 Oct 06	On-going	Medium	Scorecard rating; performance rating
Submit the FY 2006 PAR.	PMA DHHS Proud To Be	By 15 Nov 06	On-going	Medium	Scorecard rating; performance rating
Receive an unqualified audit opinion on the HHS FY 2006 financial statement audit and submit PAR to OMB.	PMA DHHS Proud To Be OMB	By 15 Nov 06	On-going	Medium	Scorecard rating; performance rating
Submit the FY 2007 Quarter Balance Sheet, Statement of Net Costs, and Statement of Budgetary Resources and variance analyses.	PMA DHHS Proud To Be	Quarterly (21 Jan 07, 21 Apr 07, 21 Jul 07)	On-going	Medium	Scorecard rating; performance rating

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DHHS Key Milestones: FMFIA Compliance					
Submit Department-wide FMFIA assurance statement including updated ICOFR assurance with the PAR.	PMA DHHS Proud To Be	By 15 Nov 06	On-going	Medium	Scorecard rating; performance rating
Complete Department-wide plan and scope of the evaluation for 2007.	PMA DHHS Proud To Be	By 31 Dec 06	On-going	Medium	Scorecard rating; performance rating
Revise HHS' A-123 guidance manual.	PMA DHHS Proud To Be	By 30 Jan 07	On-going	Medium	Scorecard rating; performance rating
HHS will update documentation of controls for 2007.	PMA DHHS Proud To Be	By 30 Apr 07	On-going	Medium	Scorecard rating; performance rating
Complete testing of the operating effectiveness of ICOFR for 2007.	PMA DHHS Proud To Be	By 15 Jul 07	On-going	Medium	Scorecard rating; performance rating
Prepare a draft of the Department-wide Appendix A assurance statement (as of June 30, 2007) and begin to plan and scope of the Evaluation for 2008.	PMA DHHS Proud To Be	By 15 Sep 07	On-going	Medium	Scorecard rating; performance rating
DHHS Key Milestones: Integrate Financial Data into Day-to-Day Operations					
Provide a briefing on the Green Plan that addresses milestones and indicators of progress.	PMA DHHS Proud To Be Green Standard	Quarterly (31 Dec 06, 15 Mar 07, 1 Jun 07, 15 Sep 07)	On-going	Medium	Scorecard rating; performance rating
Other Issues					
Provide quarterly status reports to DHHS (scorecard).	PMA DHHS	Quarterly	On-going	Low	Scorecard input and rating